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Date	May 12, 2005	Client-Matter	74622-007	Fax Transmittal
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From	John C. Stellabotte			
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To:	Examiner: John W. Hayes			Fax No.: 703.872.9306
Company:	United States Patent and Trademark Office – Group Art Unit 3621			Voice No.: 703.306.5447

## Message

Re: Inventor : Phillip Koh-Kwe Hsu  
 Serial No. : 09/685,924  
 Filing Date : October 10, 2000  
 Title : INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION  
 Att'y Docket : 74622-007

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact Teller or file a call at (712) 969-3410 if you have any questions.

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I hereby certify that the foregoing facsimile transmission was transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

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Juan C. Arias

May 12, 2005

Signature

Date

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and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	09/685,924
Filing Date	October 10, 2000
First Named Inventor	Philip Koh-Kwei Hsu
Title	INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION
Art Unit	3621
Examiner Name	John W. Hayes
Attorney Docket Number	74622-007

I hereby appoint:

Practitioners associated with the Customer Number:

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Practitioner(s) named below:

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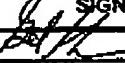
Fax

I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	5/12/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**STATEMENT UNDER 37 CFR 3.73(b)**

Phillip Koh-Kwe Hsu

Applicant/Patent Owner:

Application No./Patent No.: 09/685,924 Filed/Issue Date: October 10, 2000Entitled: **INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION**UBS Financial Services, Inc.Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.  
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in the patent application/patent identified above by virtue of either:

An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Philip Koh Kwe Hsu To: Painewebber Incorporated  
The document was recorded in the United States Patent and Trademark Office at Reel 011222, Frame 0291, or for which a copy thereof is attached.
2. From: Painewebber Incorporated To: UBS Painewebber Incorporated  
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 Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature5/13/05Gregg L. Goldman

Date

Printed or Typed Name  
Director and Senior Counsel, Technology and  
Intellectual Property, UBS AG, Stamford Branch203 719 3099

Telephone Number

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 33 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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